

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
**FIS920000149US1**

In Re Application Of: **DAVID C. AHLGREN, ET AL.**

Serial No.  
**09/633,857**

Filing Date  
**08/07/00**

Examiner

Group Art Unit  
**1765**

Invention: **IN-SITU MONITORING AND CONTROL OF GERMANIUM PROFILE IN SILICON-GERMANIUM  
ALLOY FILMS AND TEMPERATURE MONITORING DURING DEPOSITION OF SILICON FILMS**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
**10/17/00**  
Date

Enclosed herewith for filing are the following:

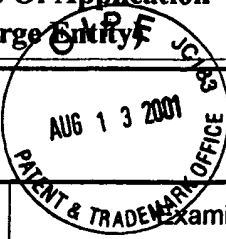
- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ Other (list):

**RECEIVED**  
**AUG 16 2001**  
**OFFICE OF PETITIONS**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entry)**

Docket No.  
FIS920000149US1

In Re Application Of: **DAVID C. AHLGREN, ET AL.**



Serial No.  
09/633,857

Filing Date  
08/07/00

Examiner

Group Art Unit  
1765

Invention: **IN-SITU MONITORING AND CONTROL OF GERMANIUM PROFILE IN SILICON-GERMANIUM  
ALLOY FILMS AND TEMPERATURE MONITORING DURING DEPOSITION OF SILICON FILMS**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

**RECEIVED**

AUG 16 2001

OFFICE OF PETITIONS

☒ Completion of application fees as calculated below:

☐ Utility application filing fee

☐ Design application filing fee

☐ Total number of independent claims = \_\_\_\_\_

☐ Total number of claims = \_\_\_\_\_

☐ Multiple dependent claims

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath **\$130.00**

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

Total completion of application fees **\$130.00**

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month    ☐ Two months    ☐ Three months    ☐ Four months    ☐ Five months

from: \_\_\_\_\_ until: \_\_\_\_\_  
Date Date

Total time extension fees \_\_\_\_\_

Total fees due **\$130.00**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.  
FIS920000149US1

In Re Application Of: **DAVID C. AHLGREN, ET AL.**

Serial No.  
09/633,857

Filing Date  
08/07/00

Examiner

Group Art Unit  
1765

Invention: **IN-SITU MONITORING AND CONTROL OF GERMANIUM PROFILE IN SILICON-GERMANIUM  
ALLOY FILMS AND TEMPERATURE MONITORING DURING DEPOSITION OF SILICON FILMS**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

RECEIVED

AUG 16 2001

OFFICE OF PETITIONS

The fee of \$130.00 is to be paid as follows:

- ☐ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 09-458 FI-490  
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 09-458 FI-490  
A duplicate copy of this sheet is enclosed.

Signature

Dated: 10/24/00

Joseph P. Abate, Sr. Attorney  
Registration No. 30,238  
IBM Corporation, IPLAW  
Bldg. 300-482 Rt. 52  
Hopewell Junction, NY 12533  
845-894-4633

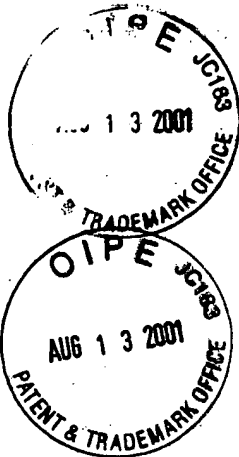
I certify that this document and fee is being deposited on  
10/24/00 with the U.S. Postal Service as first  
class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.

*Karen Cinq-Mars 10/24/00*  
Signature of Person Mailing Correspondence

**KAREN CINQ-MARS**

Typed or Printed Name of Person Mailing Correspondence

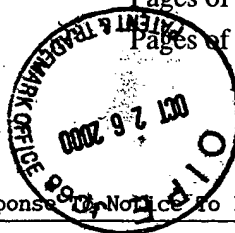
CC:



PLEASE ACKNOWLEDGE & RETURN

Date Mailed 10/24/00

Express Mail Cert.# \_\_\_\_\_  
☒ First Class Cert. of Mailing \_\_\_\_\_  
Application \_\_\_\_\_ Pages of Spec. \_\_\_\_\_ No. of Claims \_\_\_\_\_  
☒ Declaration \_\_\_\_\_ Pages of Dwgs. \_\_\_\_\_  
Assignment \_\_\_\_\_  
Amendment \_\_\_\_\_  
Issue Fee \_\_\_\_\_  
☒ Other Response to Notice To File Missing Parts \_\_\_\_\_



Docket No. FIS920000149 Serial # 09/633,857 Filing Date 8/7/00

In re appln of David C. Ahlstrom, et al.

Title In-Situ Monitoring And Control Of Germanium Profile In Silicon-Germanium Alloy Films And Temperature Monitoring During Deposition Of Silicon Films

Chg. \$ 130 To Deposit Account No. 09-0458 FI- 490 Attorney JPA/rms

**PLEASE ACKNOWLEDGE & RETURN**

Date Mailed 10/24/00



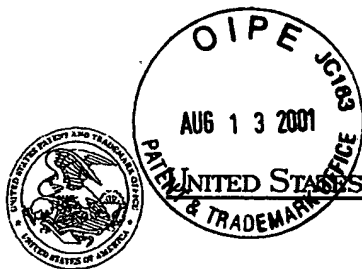
Express Mail Cert.# \_\_\_\_\_  
☒ First Class Cert. of Mailing \_\_\_\_\_  
Application \_\_\_\_\_ Pages of Spec. \_\_\_\_\_ No. of Claims \_\_\_\_\_  
☒ Declaration \_\_\_\_\_ Pages of Dwgs. \_\_\_\_\_  
Assignment \_\_\_\_\_  
Amendment \_\_\_\_\_  
Issue Fee \_\_\_\_\_  
☒ Other Response To Notice To File Missing Parts

Docket No. FIS920000149 Serial # 09/633,857 Filing Date 8/7/00  
In re appln of David C. Ahlgren, et al.  
Title In-Situ Monitoring And Control Of Germanium Profile In Silicon-Germanium Alloy Films And Temperature Monitoring During Deposition Of Silicon Films  
Chg. \$ 130 To Deposit Account No. 09-0458 FI-490 Attorney JPA/rms

RECEIVED

AUG 16 2001

OFFICE OF PETITIONS



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/633,857	08/07/2000	David C. Ahlgren	FIS9-2000-0149US1

IBM Corporation  
Intellectual Property Law  
Zip 482  
2070 Route 52  
Hopewell Junction, NY 12533

## FORMALITIES LETTER



\*OC000000005478948\*

Date Mailed: 10/17/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

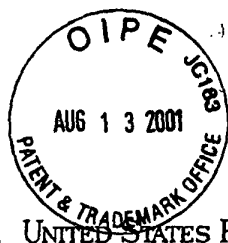
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED

AUG 16 2001

OFFICE OF PETITIONS



UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/633,857	08/07/2000	1765	690	FIS9-2000-0149US1	7	20	2

JPA  
 IBM Corporation  
 Intellectual Property Law  
 Zip 482  
 2070 Route 52  
 Hopewell Junction, NY 12533

## FILING RECEIPT



\*OC000000005478947\*

Date Mailed: 10/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

David C. Ahlgren, Residence Not Provided;  
 Jack O. Chu, Residence Not Provided;  
 Basanth Jagannathan, Residence Not Provided;  
 Ryan W. Wuthrich, Residence Not Provided;

RECEIVED

AUG 16 2001

OFFICE OF PETITIONS

## Continuing Data as Claimed by Applicant

## Foreign Applications

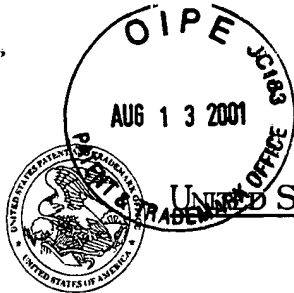
If Required, Foreign Filing License Granted 09/20/2000

## Title

In-situ monitoring and control of germanium profile in silicon-germanium alloy films and temperature monitoring during deposition of silicon films

## Preliminary Class

117



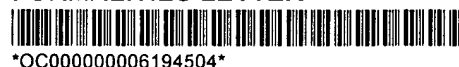
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/633,857	08/07/2000	David C. Ahlgren	FIS9-2000-0149US1

CONFIRMATION NO. 3316

## FORMALITIES LETTER



Joseph P. Abate  
Intellectual Property Law  
IBM Corporation  
Dept. 18G Building 300-482 2070 Route 52  
Hopewell Junction, NY 12533

Date Mailed: 06/18/2001

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

*Filing Date Granted*

The U.S. Patent and Trademark Office has received your reply on 10/26/2000 to the Notice to File Missing Parts (Notice) mailed 10/17/2000 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- The oath or declaration is unsigned.
- Late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 was not received.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

RECEIVED

AUG 16 2001

OFFICE OF PETITIONS

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/15/2001 SLUANG1 00000003 090458 09633857  
01 FC:105 130.00 CH